

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 09857-031001	Application No. 09/401,892
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Stuart Serkin et al.	
		Filing Date September 23, 1999	Group Art Unit

## U.S. Patent Documents


Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date Appropriate
	AA						
	AB						
	AC						
	AD						
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	AG						
	AH						
	AI						
	AJ						
	AK						

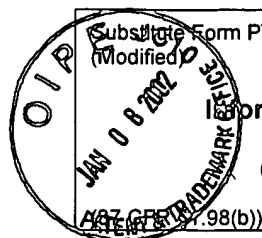
## Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL							
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	AN							
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## Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
B	AQ	Securities and Exchange Commission, Proposed Rule Change, NASD, Inc., 2/5/99, 61 pps.
	AR	
	AS	
	AT	

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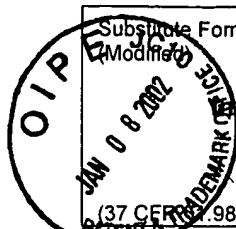
Examiner Initial	Desig. ID	Document
B)	AQ	"Self-Regulatory Organizations: Notice of Filing of Amendment No. 1 to a Proposed Rule Change by National Association of Securities Dealers, Inc., Relating to an Integrated Order Delivery and Execution System", Federal Register – Securities and Exchange Commission, Vol. 63, No. 48, March 12, 1998, pps. 12124-40, XP002171774 (198.17.75.65/fril/).
B)	AR	"Self-Regulatory Organizations: Notice of Filing of Amendment No. 1 to a Proposed Rule Change by National Association of Securities Dealers, Inc., Relating to an Integrated Order Delivery and Execution System", Federal Register – Securities and Exchange Commission, June 10, 1999, pps. 31335-38, XPO002171937 (1989.17.75.65/fril/).

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B2	AS	Smith, J.W., Selway, J.P. McCormick, T.D.: "NASD Working Paper 98-01: The Nasdaq Stock Market: Historical Background and Current Operation", NASD Department of Economic Research, August 24, 1998, pps. 1-51, XP002171837 (www.academic.nasdaq.com/docs/wp98_01.pdf).
	AT	

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